

Alabama County Commissions



Functional Analysis & Records Disposition Authority

**Revision Approved by
the Local Government
Records Commission
July 25, 2007**

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Functional and Organizational Analysis of Alabama County Commissions

Sources of Information

Representatives of Alabama County Commissions

Alabama Government Manual (1998)

Code of Alabama 1975

Martin, David. *Alabama's State and Local Governments* (1988)

McCurley, Robert L., Jr. *Handbook for Alabama County Commissioners* (1997)

Historical Context of Alabama County Commissions

Counties are political subdivisions of our state, organized to assist in the local administration of state functions. Historically, they evolved from the form of local government established in England before the Norman Conquest of 1066. Counties were first established in the American colonies during the 17th century and were especially important in the southern colonies. There are more than three thousand counties now in the United States.

Washington County was the first Alabama county, created in 1800, or two years after the territory now forming the states of Alabama and Mississippi was organized into the Mississippi Territory. The territorial legislature (first of the Mississippi Territory and, after 1817, of the Alabama Territory) created additional counties as the area was settled. By the time Alabama entered the Union in December 1819, 29 counties had been organized. The legislature continued to establish counties as the need arose, primarily in the 1830's and 1860's, so that the entire territory of the state was organized into 66 counties by the time the current Constitution was adopted in 1901. Presently, there are 67 counties in the State of Alabama.

The first local government system in Alabama was the county court system. In 1821, this system was changed to increase the number of justices, which led to the establishment of a new court, the Court of County Commissioners. This arrangement provided for a certain amount of separation between the administrative and judicial functions of government at the county level. The new commissioners were assigned administrative and legislative functions, such as control over roads, ferries, and bridges and the management of public buildings. In 1866, additional responsibilities were added to include governing local election administration, licensing, and record-keeping. Formerly, counties operated under a system of district road commissioners, each of whom had his own road crew. Only thirteen Alabama counties still retain this system; elsewhere, a county engineer has generally assumed the duties of the road commission. To this day, however, the state legislature continues to control county government activities, as matters apparently of purely local importance must often be submitted for legislative action in the form of local bills and local constitutional amendments.

Agency Organization

For many purposes (such as allocating funds), the county commission is the governing body of the county. The commission consists of three to nine members and may include the probate judge. The commissioners are elected and serve a four-year term, as prescribed in the Code of Alabama 1975, Section 11-3-1. However, the same section provides that local laws may change their tenure to some other term of years. Section 12-13-30 authorizes the probate judge to serve a six-year term. The probate judge is elected by the county at large, but a more restricted form of residence applies to most commissioners. Normally, counties are divided into districts, and a commissioner is elected in each district. In a few counties, commissioners may be elected on a county-wide basis, without regard to residence. If the probate judge does not serve as chairperson of the commission, the chairperson may be elected on a county-wide basis or selected by the commissioners themselves. Commission members can only be removed by impeachment proceedings held in the county's circuit court. To qualify for the office of county commissioner, an individual must be a resident of the county or district he or she would represent and a qualified elector of the county. Commissioners must file a bond (made by a surety or guaranty company authorized by law to conduct business in the state) and take an official oath of office. They cannot hold another office while serving as commissioner.

County commissioners are charged with many responsibilities. In order to address the needs of the county, most county commissions employ an individual usually referred to as the county administrator. The administrator generally manages the county's day-to-day business. Since the commissioners may not be present during day-to-day operations, they rely heavily on the administrator to keep them informed by maintaining a close working relationship. County administrators are primarily financial managers. Their duties include: preparing budgets, supervising financial record-keeping, monitoring revenues and expenditures, making investments, and preparing financial reports. The county administrator also monitors the results of state and federal legislation that affects the county, working with the county attorney to stay informed of the courts' and attorney general's interpretations of legislation affecting county operations. In order for the commission to operate smoothly, the administrator hires personnel and assigns job responsibilities.

Agency Functions and Subfunctions

The Code of Alabama 1975, in Sections 11-3-10 and 11-3-11, establishes many of the powers and duties of county commissions. Additional authority for county commission actions is found elsewhere in Title 11 and, indeed, throughout the Code. The mandated function of the commission is to direct, control, and maintain the property of the county as it may deem expedient according to the law. The county commission determines where the courthouse(s) will be in each county and designates the location of each official's office. The commission oversees the establishment of new roads and bridges, and makes changes to existing roads or bridges, in order to improve travel throughout the county. The commission levies taxes; examines and settles claims against the county; audits accounts of all county officers having care, management, or disbursement of county funds; and contracts for county services. Generally, the county commissions' duties fall under the Policy & Statute Development, Public Services, Economic & Community Development, Regulation, and Administrative Support Operations functions herein identified for Alabama local government.

In the performance of their authorized or mandated functions, county commissions may engage in the following subfunctions:

Policy and Statute Development

- **Making and Implementing Policy.** The county commission establishes policy for the county by adopting resolutions that embody policy decisions. Resolutions are adopted during the commission's regular meetings. The public may attend those meetings and contribute ideas and opinions that may influence the commission's decisions. Special meetings may be called by the commission when special issues or needs arise. Public hearings may be held at this time. Policy decisions by the commission are made in accordance with state and federal regulations.
- **Authorizing Revenue Collection.** Counties are delegated powers of taxation by the state. The commission levies taxes authorized by the state constitution or by local and general acts of the legislature. Property taxes continue to be a major source of county revenue; but the county also receives a portion of its revenue from other sources, such as the business license tax, gasoline tax, automobile license tax, corporate franchise tax, privilege licenses, occupational tax, sales tax, alcoholic beverage tax, severance tax, TVA distribution, mineral documentary tax, and fees for services. At its discretion, the commission allocates percentages of taxes and fees collected to fund various county functions. The assessment and collection of taxes is, of course, the responsibility of the county tax assessor and tax collector, or of a revenue commissioner in counties wherein the offices have been combined.
- **Facilitating Elections.** Under Title 17, Chapter 5A of the Code of Alabama 1975, each county commission is responsible for establishing and defining the boundaries of electoral precincts, voting districts, and polling places for the county. Along with the county board of registrars, it coordinates with the state reapportionment task force and supplies information to the U.S. Census Bureau in order to ensure that the county's electoral precincts and districts remain equitable. The county commission also purchases voting machines, maintains them, and pays the costs of individual elections.

Public Services

- **Providing Utility and Sanitation Services.** The commission provides for citizens of the county to receive various utility and sanitation services, either by establishing a county department to administer the service or by contracting with private vendors. The commission also directs the acquisition of water, sewer, and sanitation services for county property and residents of the county.
- **Building and Maintaining Roads and Bridges.** The commission provides for building roads and bridges throughout the county. Most counties maintain road departments that usually employ a sizeable number of people to build and maintain roads and bridges. The commission may also contract for portions of this service (such as spreading asphalt). The commission monitors roads and bridge improvement projects to continue making travel safe

for all citizens. The commission controls travel safety by posting speed limits on streets and highways that fall under its jurisdiction.

- **Providing Public Transportation Systems and Facilities.** This subfunction pertains to the operation and maintenance of airports, public transit systems, and other public transportation services or facilities that some counties provide to citizens. (Other counties support municipal or regional entities that provide such services.) The operation of some facilities, such as airports, may be subject to state and federal requirements and administered by autonomous authorities.

Economic and Community Development

- **Planning and Improving Community Development.** Most county commissions participate in the planning function through a regional planning commission, under statutes authorizing the county commission to develop a master plan for the county's physical development (Code of Alabama 1975, Sections 11-85-1 through 11-85-7). The Code of Alabama 1975, Sections 11-81-140 through 11-81-150, authorizes the commission to issue public improvement revenue bonds for county improvements. The types of improvement undertaken may include building or improving parks, airports, docks, hospitals, public markets, tennis courts, swimming pools, golf courses, agricultural facilities, etc.
- **Recruiting Business and Industry.** The object of this subfunction is to attract new business ventures to the county. County governments may cooperate with regional planning commissions, municipalities, and non-government agencies such as chambers of commerce and tourism councils, in promoting county resources to potential businesses and residents. Counties may operate civic centers and industrial parks as sites to attract business conferences and industrial development.

Regulation

- **Zoning and Regulating Subdivisions.** As a general rule, Alabama counties do not possess the comprehensive planning and zoning authority necessary to control the development and use of territory lying outside the boundaries of incorporated municipalities. However, there are provisions of law under which particular aspects of the physical development of non-municipal territory may be planned and controlled to a significant degree. Each county governing body is authorized to adopt a comprehensive land management and use program for flood-prone areas and to regulate subdivisions in the county lying outside the corporate limits of municipalities. (See the Code of Alabama 1975, Title 11, Chapter 24.)
- **Licensing/Permitting and Inspecting.** The commission issues licenses and permits to regulate some activities conducted within the county's jurisdiction. The commission regulates such county services and facilities as building and housing construction, code enforcement, utilities (gas, water, sewer), health and sanitation, fire prevention, and recreational facilities. A few counties employ license commissioners to issue licenses and permits for the commission and collect the associated fees. Inspections are conducted by county license inspectors responsible for enforcing codes and regulations.

- **Vaccinating and Controlling Domestic Animals.** Under the Code of Alabama 1975, Section 3-7A-7, “it shall be the duty of each and every county in the state to provide a suitable county pound and impounding officer for the impoundment of dogs and cats found running loose in violation of the provisions of this chapter.” Section 3-7A-2 requires “every owner of a dog or cat” to have the animal immunized against rabies by the county’s rabies control officers or a “duly licensed veterinarian.” Besides providing immunizations, counties may maintain a “dog pound” and mobile animal control units to pick up stray animals and, eventually, destroy those not claimed.

Administrative Support Operations

- **Constructing County Buildings and Managing Office Space.** This subfunction encompasses the responsibility of constructing courthouses and other county buildings. The Code of Alabama 1975, Section 11-3-11, authorizes the commission to build and manage property owned by the county and to designate office areas by placing personnel at each location in the building. The commission’s responsibilities in this area extend to county government as a whole and therefore warrant designation as a separate subfunction, rather than inclusion under the property management activity of the Administering Internal Operations subfunction.
- **Administering Internal Operations.** A significant portion of the county commission’s and county administrator’s work includes general administrative, financial, and personnel activities performed to support its programmatic areas. These activities include:

Managing the agency. Activities include internal office management activities common to most government agencies, such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems technology.

Managing finances. Activities include budgeting (preparing and reviewing a budget packages; preparing and passing a budget; documenting budgetary amendments and performance; and reporting on established budget categories); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency’s budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; assisting in the audit process; investing; and issuing bonds.

Managing human resources. Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees, such as leave, health insurance, unemployment compensation, worker’s compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, promoting, granting

leave, and monitoring the accumulation of leave; training and providing continuing education for employees; and disciplining.

Managing properties, facilities, and resources. Activities include inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities, leasing and/or renting offices or facilities; providing security for property owned by the agency; insuring property; and assigning, inspecting and maintaining agency property, including vehicles.

Analysis Of Record-Keeping Systems and Records Appraisal of Alabama County Commissions

Agency Record-Keeping Systems

Alabama county commissions most often operate hybrid record-keeping systems composed of paper, microfilm and electronic records. Paper records are normally stored on-site in county courthouses and annexes, but some counties maintain off-site back-up copies of microfilm or computerized record-keeping media. Generally speaking, counties tend to lack adequate space and a suitable environment for preserving records. Many are now adopting digital imaging technology to reduce the volume of paper records they must store.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by Alabama county commissions: temporary records and permanent records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal, and administrative requirements have been met. Records discussed here have been added or revised in disposition since the last revision of the RDA.

- **Planning/Zoning Board/Board of Adjustment Hearing Files (8.01b).** These records document citizen's request for variances to the county zoning board or board of adjustments, hearings on requests, and the board's decisions. They may include applications for variances, protest letters, hearing notices, correspondence and reports, and other material maintained as case files. These records are assigned the same disposition period as similar records of other boards and commissions: six years after the board's decision and settlement of all appeals.
- **Geographic Information System (GIS) Records (8.04).** These records include individual maps, photographs, or other documentation of road, street, road right-of-way, road centerline, hydrant, tax parcel, or other data created by the county's GIS system. They may be maintained, used, or updated by various county departments. Because the GIS system is a perpetual, continually updated database, individual records it produces usually have only a nominal retention period. However, certain GIS maps, photographs, or other records may be suited to provide long-term historical documentation of the county's physical development. The disposition statement calls for GIS records to be selectively evaluated for permanent retention under RDA item 8.03.
- **Master Address Files and Address Change Information (8.05).** These records include geographic information—primarily street and road names and locations—on all residential and business addresses covered by the county GIS system. They also include additions or corrections of names, street addresses, telephone numbers, or other information on residences and businesses. Because address files and changes do not provide detailed information on individual residents or businesses, they have no significant historical interest or utility.

Address information is maintained in a perpetual data file. The proposed one-year retention period the long-term integrity of the database while permitting the short-term disposition of outdated information.

- **Zoning Violation Correction Files (8.06).** These files document the county's efforts to identify and correct violations of its zoning ordinances, as well as ordinances regulating weeds, littering, and other public nuisances. Case files or similar records may include: notices of violations, complaints from citizens, and other correspondence; photographs of property; and records of court proceedings. The proposed disposition periods depend upon whether or not litigation becomes necessary to enforce correction of the violation. Cases that do not require litigation are disposable three years after the violation is corrected. If litigation results, the records may be destroyed (like other legal case files) six years after its conclusion.
- **Grant Project Files—Subsidiary financial records (13.07b).** These records include accounting or purchasing records and any other subsidiary financial documentation of federal grants, including financial reports. Federal Rule 1354 requires only three-year retention of such records, which were previously scheduled for six years. The three-year period is compatible with our usual "2 years following audit" requirement and has been previously approved for such records held by other jurisdictions.
- **Training—Training administrative files (14.21b).** These records document the process of conducting training for employees. They may include lists of attendees at workshops or training sessions, individual lesson plans, sign-in sheets, unpublished handouts, audiovisual presentations or materials, lists of attendees, and appraisals of training completed by participants. Formerly, these records were scheduled for 10-year retention, which seems unduly long and elicited complaints from local jurisdictions. Training manuals and other publications are scheduled as permanent under item 14.21a, in order to provide long-term documentation of the county's training activities.

II. Permanent Records. The Government Records Division recommends the following records as permanent:

Making and Implementing Policy

- **Administrative Correspondence (1.01).** This correspondence documents the formulation of policy or rule-making decisions by the county commission or other county officials. It may reflect the influence of citizens on policy development, include statistical or technical information of long-term administrative value, and document planning activities conducted by the county commission and allied agencies, such as state or federal authorities or the area's regional planning commission.
- **County Commission Minutes, Meeting Agendas, and Packets (1.02).** These records document meetings of the county commission. The Code of Alabama 1975, Section 11-3-18, mandates that the commission's chairman record the proceedings at its meetings. Minutes,

along with meeting agendas and packet materials reviewed by the commission (copies of budgets, work plans, and other background information), are essential to document the evolution of commission policy and procedures.

- **Resolutions (1.04).** Commission policy statements, regulatory actions, and other decisions on matters that affect the county are embodied in the form of resolutions passed at commission meetings. Annual budgets, and amendments to the budgets, also take the form of resolutions. Along with meeting minutes, resolutions are the county commission's primary legislative records. They are essential for documenting policy development and are therefore appraised as permanent.
- **Administrative Codes and Regulations (1.05).** In performing various administrative and regulatory duties, the county commission may approve detailed codes and regulations to supplement its resolutions. Codes and regulations in such areas as industrial development, public health, medical service, utilities, waste disposal, may be based on state and federal requirements or cooperative agreements with nearby municipalities. (See Title 11, Chapter 80 of the Code of Alabama 1975.) Under Code Sections 11-13-1 and -2, the county commission may periodically codify its resolutions, legislative acts of local application, and administrative codes and regulations.

Authorizing Revenue Collection

Permanent documentation of this subfunction is found in commission resolutions authorizing revenue collection. The actual collection of revenue is permanently documented in general ledgers/trial balances and audit reports, listed under the Administering Internal Operations subfunction, and in records maintained by county taxation officials.

Facilitating Elections

- **Maps of County Electoral Precincts (3.01).** Under the Code of Alabama 1975, Section 17-5A-3, "each county governing body shall provide and maintain at all times a suitable map showing the current geographical boundaries with designation of precincts and a legal description of the geographical boundaries of each precinct. Each county governing body shall send a copy of each map, with description attached, to the county board of registrars, the probate judge, and the [state] reapportionment task force." These records are therefore permanent, although the disposition permits the destruction of duplicate copies as soon as they are superseded.

Providing Utility and Sanitation Services

- **Utility Board/Commission Meeting/Hearing Minutes, Agendas, and Packets (4.01).** These records include meeting and hearing minutes of the board or commission overseeing the operation of the county's public utilities, except for those under the sole jurisdiction of incorporated towns or cities. Such records, like those of other boards and commissions, are permanent because they are essential to document decisions of the board. The records also

include a copy of the meeting agenda and any background materials (packets) distributed to or reviewed by the utility board or commission. This series has been retitled to conform with identical records listed in the municipal RDA.

- **Utility System Maps, Plans, Profiles, and Photographs (4.02).** These records include maps, profiles, plans, and photographs of sewer systems, water reservoirs, and other utility constructions operated by the county or its service vendors. Under Title 11, Chapter 50 of the Code of Alabama 1975, such records shall be available for inspection by the affected property owners. However, the proposed disposition allows the eventual destruction of records for systems or reservoirs not actually leased or purchased by the county, once the potential for litigation has expired.

Building and Maintaining Roads and Bridges

- **Right-of-Way Deeds, Maps, and Drawings (5.01).** As they document the county's ownership of right-of-way over lands on which roads and bridges are constructed, these records have permanent legal and historical value. They contain a legal description and diagram of the right-of-way, and the land's location. A copy of the deed is kept on file at the county probate office.
- **Field Survey Notebooks (5.02).** These records comprise basic surveying notes for county road construction projects. Original field notes are among the earliest records created in Alabama counties, so these records have permanent administrative and historical value. They include information on the road or bridge's location (latitude, longitude, and magnetic bearing), boundaries of rights-of-way, topographic data, and ownership of adjoining properties.
- **Road Project Plans, Specification, Maps, Plats, and Photographs (5.03).** These records provide comprehensive documentation of the construction and improvement of county roads. Information available includes overall project plans and specifications, photographs, and maps or drawings. Because these records have historical interest and document one of the county commission's most important statutory duties, overall project plans, specifications, maps, and plats are appraised as permanent.
- **Bridge Project Plans, Specifications, Maps, Plats, and Photographs (5.05).** These records provide comprehensive documentation of the construction and improvement of county bridges. The plans or drawings document the bridge's location and structural details, materials used in construction, and flood levels. Information available in them includes overall project plans and specification, photographs, and maps or drawings. Although these records have no administrative utility beyond the life of the bridge, they may have permanent historical value in documenting important, if transitory, features of the county landscape.

Providing Public Transportation Facilities and Services

- **Transportation Authorities' Meeting/Hearing Minutes, Agendas, and Packets (6.01).** These records document the meetings of boards, commissions, or authorities that oversee the operation of county airports or public transit systems. They include agendas and packet

materials (copies of budgets, work plans, reports, and other background information) reviewed by members prior to meetings. Meeting minutes and related records are essential for documenting policy development by the county bodies responsible for transportation services.

- **Airport Maps, Plans, and Blueprints (6.04).** Like maps, plans, and blueprints for other county buildings and facilities, these records are appraised as permanent for their evidentiary and historical value. Master vs. “as-built” plans show any differences between projected and completed airport construction or improvement that might affect the safety and efficiency of airport operations. Layouts are continually updated to reflect changes that may influence the airport’s technical performance.

Planning and Improving Community Development

Permanent records documenting this subfunction include meeting minutes and administrative correspondence, listed under Making and Implementing Policy and Recruiting Business and Industry. Planning documentation for county governments is also retained in records of regional planning commissions (covered by a separate RDA.)

Recruiting Business and Industry

- **Industrial Development Board Minutes, Meeting Agendas, and Packets (7.01).** These records document the meetings of boards or authorities responsible for recruiting business and industry and planning the county’s industrial development. They include agendas and packet materials (copies of budgets, work plans, reports, and other background information) reviewed by members prior to or during meetings. These board minutes and related records provide essential documentation of county economic planning.

Zoning and Regulating Subdivisions

- **Planning/Zoning Board/Board of Adjustment Meeting/Hearing Minutes, Agendas, and Packets (8.01a).** These records document the role of the county zoning board or board of adjustment in planning and regulating the location and development of business or residential areas within the county. They include agendas and packet materials (copies of budgets, work plans, reports, and other background information) reviewed by members prior to or during meetings. Like the minutes of all similar boards and authorities, these records (which are already scheduled in the municipal RDA) are appraised as permanent, as they provide long-term documentation of policy decisions and community development.
- **Subdivision Files (8.02a).** Like similar files for roads and bridges, these records document one of the county commission’s statutory responsibilities: evaluating contractors’ plans and specifications for compliance with county requirements. Records appraised here as permanent include plans, plats, maps, and photographs showing roads, rights-of-way, drainage ditches, and other surface improvements (8.01a). Other records (soil testing reports, inspection reports, permits, correspondence) are appraised as temporary under item 8.02b,

based on the Code of Alabama 1975, Section 6-5-222 [Suppl. 1994], which sets a 13-year statute of limitations on lawsuits against contractors.

- **Historical Aerial Photographs and Final Maps (8.03).** Views of roads, bridges, bodies of water, and other county structures and topography are recorded in photographs and maps. They may be used in planning, economic development, regulation, and other core functions of county government. This item includes both conventional photographs and maps (which have always been permanent) and GIS maps and photographs that can provide long-term historical documentation of the county's physical development. RDA item 8.04 calls for such maps and photographs to be selected from those produced by the county's GIS system (a perpetual, but continually updated, database).

Licensing/Permitting/Inspecting

Permanent documentation of this subfunction is found in general ledgers/trial balances and audit reports, listed under the Administering Internal Operations subfunction.

Constructing County Buildings and Managing Office Space

- **County Building Construction and Renovation Files (11.01).** These files document the design, construction, repair, and renovation of courthouses and other county-owned buildings. Included may be building specifications and floor plans, plans of proposed work, lists of materials, correspondence, memoranda, reports, blueprints, site plans, elevation details, and financial records. Besides providing fiscal accountability, some records have permanent value in preserving detailed information on courthouses and other significant county buildings, such as county archives or buildings of significant historical interest.

Administering Internal Operations—Managing the Agency

- **Administrative Policies and Procedures (12.01).** These records include policies and procedures established by the county commission on a variety of issues regarding its relations with the public, other governmental or private entities, and county employees. They provide primary evidence of commission's philosophy and execution of its mandated functions under the Code of Alabama.
- **Annual Reports (12.03).** County commissions may create annual narrative and/or financial reports describing their activities during the calendar or fiscal year. Such reports provide summary documentation of commission functions, projects, and activities, as well as an ongoing history of the county and its government.
- **Historical and Publicity Files (12.04).** The commission may issue press releases or informational brochures and videos to publicize particular county projects or activities. Either the commission or individual commissioners may retain photographs, copies of speeches or presentations, and similar records that document significant county events and the commission's history. These records have evidentiary and historical value that extends

well beyond their immediate utility to the commission. They should be permanently retained in the commission's offices or in a local library, archives, or historical society under the terms of a local government records depository agreement.

- **Websites (12.06).** Many Alabama counties are now developing websites for responding to public inquiries and providing information on county government affairs. Material on the site may include: information on the county's location; population; demography; organization and officials; economic, cultural, and educational resources; and other information describing the local "way of life." In order to provide documentation of this record over time, the proposed disposition calls for a "snapshot" of the site to be retained as often as significant changes are made.

Administering Internal Operations—Managing Finances

- **Approved Annual Budgets (13.01a).** The commission's duty to create an annual budget for the county is mandated by the Code of Alabama 1975, Section 11-3-13. A copy of the approved budget is included with commission minutes and thus becomes a permanent record. The proposed disposition statement allows additional copies of the budget to be destroyed.
- **Annual Financial Reports (13.01d).** At the end of the fiscal year, a final statement of the county's finances may be included in the commission minutes and published in the local newspaper. The proposed disposition again permits the destruction of additional copies.
- **Audit Reports (13.02).** These records document the county's overall financial condition, and the findings of the Examiners of Public Accounts, during each audit period. They include information on the county's current accounting procedures, bookkeeping problems, compliance with state and federal regulations, and record-keeping practices. Along with general ledgers, audit reports are primary records of fiscal accountability. Theoretically, the Examiners transfer copies of all county audit reports to the Department of Archives and History; but this fact does not ensure that county citizens—or the commissions themselves—will have long-term, convenient access to these records at the local level. Therefore, we propose that audit reports, which have previously been scheduled for 10-year retention, be reappraised as permanent.
- **General Ledgers—general ledgers and detailed year-end trial balances created prior to 1975 (13.03b).** The general ledger is the record of final entry for all financial transactions: collecting fees and other revenue, purchasing, investing, administering state and federal funds, and general accounting. Originally, general ledgers were manually created; now, these records and another financial summary, the detailed year-end trial balance, are often electronically created. This revision of the RDA limits permanent retention to general ledgers and trial balances to records created before 1975. Later records retain the 10-year period previously approved for those in electronic format. Annual Financial reports (12.01d) and Audit Reports (12.02) provide permanent documentation of county financial practices.

- **Minutes of Claims Allowed or Denied (13.03c).** Under the Code of Alabama 1975, Section 11-12-4, “the county commission must audit all claims against the county, and every claim . . . must be registered in a book kept for that purpose. . . .” These records document claims against the county and actions taken by the commission’s chairman concerning them. Minutes of Claims, which are the records of final entry on such matters, include information on claimants, amounts of claims, claims allowed or denied, dates of decisions, and amounts of final payments.
- **Grant Project Final Narrative Reports (13.07c).** Either directly or through the assistance of regional planning commissions, county governments are frequently the recipients of state or federal grants. Most documentation associated with these grants is short-term accounting material. The final narrative report, however, summarizes the goals of the grant, how the money was used, and what was accomplished. They therefore have permanent evidentiary value in documenting important county projects.

Administering Internal Operations—Managing Human Resources

- **Personnel Board Meeting/Hearing Minutes, Agendas, and Packets (14.01).** These records document meetings and hearings of the county personnel board, along with the agenda of topics to be discussed at the meeting and any attachments or other documents provided to board members. These records are essential for documenting county personnel policies and administration.
- **Employee Handbooks (14.03).** Employee handbooks provide guidance to new employees about personnel rules and other county policies and procedures. They may serve as evidence of compliance with state and federal hiring practices and may be used in personnel-related litigation.
- **Employee Newsletters (14.04).** Employee newsletters offer a narrative of the county commission’s employment policies, employee programs and benefits, and information on individual employees. Along with employee handbooks, they provide the primary documentation of human resources management.
- **Job Classifications and Pay Plans (14.05).** These records document job classifications for all positions covered by the county personnel system. They include the title, qualifications, duties, and pay range for each county government position. As the most complete record of county job classifications, they provide a profile of county government and its services to citizens over time. The proposed retention provides for shorter retention of copies held by other county agencies, including the commission itself if there is a separate personnel department.
- **Annual Reports of Promotions and New Hires (14.13).** These records summarize overall county personnel activity and turnover during the year. They may also include reports of employee retirements, resignations, and terminations. In large counties where personnel operations are handled by a separate department, this statistical compilation usually serves as the department’s annual report.

- **Training Records—Training standards, policies, procedures, and publications (14.21a).** These records document the county’s overall standards, policies, and procedures in providing specialized training to its employees. They may include general policy statements or guidelines, training manuals, or other publications. Like other administrative policies and procedures, they are appraised as permanent. Documentation of training standards may also be needed to demonstrate that employees received adequate training in the performance of their job responsibilities.
- **“Drug Free Workplace” Records (14.22).** These records document the county’s substance abuse policies and training, as well as drug and alcohol testing of employees. Under the federal Americans With Disabilities Act, such medical-related records may not be included in employee personnel files. The proposed disposition is generally based on 49 CFR Ch. VI 655.71 (10-1-05 edition). Under federal requirements, training records, testing records, and medical information (drug treatment referrals) are all short-term. However, policies and procedures on drug and alcohol abuse are scheduled here as permanent, like other policy-related records.

III. Records No Longer Created. These records were formerly created by the county commission and maintained either by the commission or the judge of probate. They are no longer created. However, the Local Government Records Commission has ruled that *any record created prior to 1900 must be retained permanently.*

- **Criminal Contract Records/Records of Convicts Sentenced to Hard Labor (16.01).** These records documented the county’s leasing of convicts sentenced to hard labor to private companies or individuals. Information in them included each convict’s name, sex, race, type of crime, and length of sentence; the name of the contractor and terms of the contract; the presiding judge’s approval; and certification by the judge of probate. After a decision by the Alabama Supreme Court (ca. 1929) that leasing convicts to private entities amounted to involuntary servitude, the practice was discontinued. Because of their historical value, these records (including those created after 1900) are appraised as permanent.

Permanent Records List Alabama County Commissions

Making and Implementing Policy

1. Administrative Correspondence (1.01)
2. County Commission Minutes, Meeting Agendas, and Packets (1.02)
3. Resolutions (1.04)
4. Administrative Codes and Regulations (1.05)

Facilitating Elections

1. Maps of County Electoral Precincts—original maps (3.01a)

Providing Utility and Sanitation Services

1. Utility Board/Commission Records—Meeting/hearing minutes, agendas, and packets (4.01a)
2. Utility System Maps, Plans, Profiles, and Photographs (4.02a)

Building and Maintaining Roads and Bridges

1. Right-of-Way Deeds, Maps, and Drawings (5.01)
2. Field Survey Notebooks (5.02)
3. Road Project Plans, Specifications, Maps, Plats, and Photographs (5.03a)
4. Bridge Project Plans, Specifications, Maps, Plats, and Photographs (5.05)

Providing Public Transportation Facilities and Services

1. Transportation Authority Records—Meeting/hearing minutes, agendas, and packets (6.01a)
2. Airport Maps, Plans, and Blueprints (6.04)

Planning and Improving Community Development/Recruiting Business and Industry

1. Industrial Development Board Records—Minutes, meeting agendas, and packets (7.01a)

Zoning and Regulating Subdivisions

1. Planning/Zoning Board/Board of Adjustment Records—Meeting/hearing minutes, agendas, and packets (8.01a)
2. Subdivision Files—Final plans, plats, maps, and photographs (8.02a)
3. Aerial Photographs and Final Maps (8.03)

Constructing County Buildings and Managing Office Space

1. County Building Construction and Renovation Files (11.01)

Administering Internal Operations—Managing the Agency

1. Administrative Policies and Procedures (12.01)
2. Annual Reports (12.03)
3. Historical and Publicity Files (12.05)
4. Websites (12.06)

Administering Internal Operations—Managing Finances

1. Approved Annual Budgets (13.01b)
2. Annual Financial Reports (13.01d)
3. Audit Reports (13.02)
4. General Ledgers and Detailed Year-End Trial Balances—Created prior to 1975 (13.03b)
5. Minutes of Claims Allowed or Denied (13.03d)
6. Grant Project Final Narrative Reports (13.07c)

Administering Internal Operations—Managing Human Resources

1. Personnel Board Meeting/Hearing Minutes, Agendas, and Packets (14.01)
2. Employee Handbooks (14.03)
3. Employee Newsletters (14.04)
4. Job Classifications and Pay Plans (14.05a)
5. Annual Report of Promotions and New Hires (14.14)
6. Training Records—training standards, policies, procedures, and publications (14.21a)
7. “Drug Free Workplace” Records (14.22)

Records No Longer Created

1. Criminal Contract Records/Records of Convicts Sentenced to Hard Labor (16.01)

Alabama County Commissions Records Disposition Authority

This records disposition authority (RDA) is issued by the Local Government Records Commission under authority granted by the Code of Alabama 1975, Section 41-13-5 and 41-13-22 through -24. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of Alabama county commissions. The RDA lists records created and maintained by the commissions in carrying out their mandated function and subfunctions. It establishes retention periods and disposition instructions for those records and provides the legal authority for county commissions to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their office. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successors in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Section 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334)242-4452, or records@archives.alabama.gov.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules or RDAs governing the retention of county commission records. Copies of superseded schedules, and previous versions of this RDA, are no longer valid and may not be used for records disposition.
- This RDA establishes retention and disposition instructions for records of county commissions. It does not require the creation of any record not normally created in the conduct of county business, although the creation of certain records may be required by the county commission's administrative procedures, work responsibilities, audit requirements, or legislative mandates. Individual county commissions may not necessarily create all of the records listed below.
- This RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Certain other short-term records that do not materially affect the work of an agency may be disposed of under this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of materials sent

for informational purposes but not needed by the receiving office for future business; and internal communications about departmental social activities. They may be disposed of without documentation of destruction. Other items that may be disposed of without documentation of destruction include: (1) catalogs, trade journals, and other publications received that require no action and do not document government activities; and (2) stocks of blank stationery, blank forms, or other surplus printed materials that are not subject to audit and have become obsolete.

- Any record created by the county commission prior to 1900 shall be regarded as permanent.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of Alabama county commissions and lists records created and/or maintained by the commissions in carrying out those subfunctions. A county commission may submit requests to add or revise specific records disposition requirements to the Local Government Records Commission for consideration as its regular quarterly meetings.

At the end of this section of the RDA is a list of **Records No Longer Created** by Alabama county commissions. These records may still be maintained in some commission offices. The RDA provides disposition for these records, some of which only recently became obsolete and must continue to be maintained until their retention periods are satisfied.

1. Making and Implementing Policy

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
1.01	Administrative Correspondence. This correspondence documents the formulation of policy or rule-making decisions by the county commission or other county officials.	PERMANENT
1.02	County Commission Minutes, Meeting Agendas, and Packets. These records include the official minutes of county commission meetings, along with the agenda of topics to be discussed at the meeting and any attachments or other documents provided to commission members.	PERMANENT (Code of Alabama 1975, Section 11-3-18)
1.03	Recordings of Meetings. These recordings provide a verbatim account of debate and public input at meetings of the county commission and other county public meetings. They are normally used only as an aid to preparation of the minutes.	Retain until minutes are approved.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
1.04	Resolutions (including Annual Budgets). These records include commission policy statements, regulatory actions, and other legislative decisions by the commission. Annual budgets and amendments to the budget also take the form of resolutions.	PERMANENT
1.05	Administrative Codes and Regulations. These records include detailed administrative codes and regulations approved by the commission in such matters as industrial development, zoning, public health, and other arenas of policy development.	PERMANENT
1.06	Legislative Reference Files	
a.	Legislative tracking files. These records are created to track draft legislation in the Alabama state legislature. Proposed legislation may affect one or several counties. The files may include copies of draft legislation, statistics, names of legislative sponsors, roll call votes, position papers, and correspondence.	Retain for useful life.
b.	Code of Alabama	Retain in office until superseded.
c.	Acts of Alabama	Retain in office until amended.
d.	House and Senate Journals	Retain in office until superseded.

Records Management Recommendation: Before deciding to destroy old editions of the Code of Alabama, Acts of Alabama, or House and Senate Journals, offer them for placement in a local library, archives, or historical society.

2. Authorizing Revenue Collection

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
2.01	Errors, Litigations, & Insolvents Submitted by the County Revenue Commissioner/Tax Collector. The county's chief taxation official must submit a final report to the commission on uncollected tax balances, such as those due from insolvent persons or resulting from errors in assessment. If satisfied that the revenue officer has made a diligent effort to collect the taxes, the commission certifies the report and sends it to the State Comptroller and Department of Revenue. Approval of the report is recorded in commission minutes.	Retain 2 years following audit.
2.02	Redeemed Bonds and Interest Coupons. The Code of Alabama 1975, Sections 11-81-140 through -150, authorizes county commissions to issue public improvement revenue bonds for county improvements. These records document the issuance and redemption of bonds, including interest coupons. Information on the bond or coupon may include: descriptions of bonds or interest coupons, the amount of the bond and/or interest, and the name and address of the person presenting the demand for payment.	Retain 2 years following audit.

3. Facilitating Elections

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
3.01	Maps of County Electoral Precincts. These maps show the current geographical boundaries and legal descriptions of county electoral precincts. Information available in the map includes the name and location of each precinct, geographical features, and the date of the base map or latest revision. Disposition of the records is as follows:	
a.	Original maps maintained by the county commission	PERMANENT
b.	Duplicates maintained by the commission, board of registrars, or judge of probate	Retain until superseded.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
3.02	Petitions and Requests for Election to Levy County and District School Taxes. These records document a petition by 200 or more qualified voters of the county, or a request by a city or county board of education, for the commission to hold an election to determine whether or not a special tax should be levied for funding public schools. Information in the petition includes name of county or district, legal authorization for petition or request, date of petition or request, and signatures of voters.	Retain for 6 months after election.

4. Providing Utility and Sanitation Services

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
4.01	Utility Board/Commission Records	
a.	Meeting/hearing minutes, agendas, and packets. These records include meeting minutes of the board or commission overseeing operation of the county's public utilities, excluding boards or commissions under municipal jurisdiction. Records include a copy of the meeting agenda and any background materials (packets) distributed to or reviewed by board or commission members.	PERMANENT
b.	Hearing files. These files document citizen appeals to the utility board or commission, as well as hearings and the board's decisions. Records may include correspondence with citizens, hearing notices, reports, and other material maintained in case files.	Retain 6 years after board's decision and settlement of all appeals.
4.02	Utility System Maps, Plans, Profiles, and Photographs. These records include maps, profiles, plans, and photographs of sewer systems, water reservoirs, and other utility constructions operated by the county or its service vendors. Disposition of the records is as follows:	
a.	Maps, plans, profiles, and photographs of systems or reservoirs operated by the county	PERMANENT
b.	Maps, plans, profiles, and photographs of systems or reservoirs operated for the county by a service vendor	Retain 10 years after expiration of contract.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
4.03	Utility and Sanitation User Agreements. These records document agreements between the county and users of its utility or sanitation services. Information available includes the names and addresses of customers, amount of deposits paid, and terms of the agreement.	Retain 2 years after the audit period in which the agreement was terminated.
4.04	Utility and Sanitation Meter Reading, Billing, and Collection Records. These records document meter readings and billing activity on individual utility and sanitation customer accounts. Information available includes names and addresses of customers, account numbers, amounts due, and dates paid. This series includes customers' remittance copies of utility bills and Daily Cash Receipt Reports.	Retain 2 years following audit.
4.05	Applications and Exemptions for Sanitation Fee Exemption. These records document the process that determines whether persons may be exempted from solid waste collection charges.	Retain 2 years following audit.
4.06	Utility and Sanitation Customer Complaint Logs. These records document complaints by county utility or sanitation customers and the agency's actions in regard to them. They may include such information as the customer's name and address; date, time, and nature of the complaint; names of utility personnel assigned to respond; and any actions taken.	Retain 3 years.
4.07	Utility Department Operational Records. These records document routine utility department operations that do not relate to billing and collection. Items include work orders, operations/dispatch logs, operational reports, and records documenting variations in amounts of power or water provided over time. Disposition of the records is as follows:	
	a. Work orders	Retain 1 year.
	b. Operations/dispatch logs	Retain 3 years.
	c. Operational reports (daily, monthly, quarterly, or annual reports of utility operations)	
	i. annual or quarterly reports (if no annual report produced)	Retain 5 years.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
4.07	<ul style="list-style-type: none"> ii. Daily, monthly, or quarterly reports (if annual report produced) d. Records documenting power failures, or similar interruptions in service, to individual business or residential customers 	<p>Retain for useful life.</p> <p>Retain 10 years.</p>
4.08	<p>Water Treatment Surveys and Reports. County water treatment systems are subject to regulation by the Alabama Department of Environmental Management (ADEM). (See Chapter 335-7-10.05 of the Alabama Administrative Code.) These records include the following:</p> <ul style="list-style-type: none"> a. Water reservoir level and temperature readings b. Water temperature operational reports (daily reports) c. Bacteriological monitoring reports d. Water system sanitary surveys e. Water system regulation violation correction reports f. Water system regulation exemption records g. Chemical analysis reports 	<p>Retain for useful life.</p> <p>Retain 5 years.</p> <p>Retain 5 years.</p> <p>Retain 10 years.</p> <p>Retain 3 years after correction of violation.</p> <p>Retain 3 years after exemption or variance.</p> <p>Retain 10 years.</p>
4.09	<p>Landfill Records. These records include those required by the Alabama Department of Environmental Management (ADEM) for the management of sanitary landfills. (See Chapter 335.13-4-.29 of the Alabama Administrative Code.) The records include the following:</p> <ul style="list-style-type: none"> a. Permits b. Engineering drawings; closure/post-closure care plans; explosive gas/groundwater monitoring/correction plans 	<p>Retain 5 years.</p> <p>Retain 30 years after closure of landfill, or until released by ADEM.</p>

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
4.09	c. Operational reports (daily, monthly/quarterly, annual reports of garbage/trash intake)	Retain 10 years.
4.10	Landfill Service Collection Records. These records document billing and collection activities on landfill customer accounts. Information available includes customers' names and addresses, account numbers, amounts due, and amounts/dates paid.	Retain 2 years following audit.

Note: For other routine records of utility and sanitation departments (grants, bids, and service contracts; personnel and training records; maintenance data on equipment and facilities), follow the disposition statements for such records in the "Administering Internal Operations" subfunctions (pp. 3-15 through 3-29).

5. Building and Maintaining Roads and Bridges

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
5.01	Right-of-Way Deeds, Maps, and Drawings. These records document the county's ownership of right-of-way over lands on which roads and bridges are constructed. They contain a legal description and diagram of the right-of-way, and the land's location.	PERMANENT
5.02	Field Survey Notebooks. These records comprise basic surveying notes for county road construction projects. They include information on the road or bridge's location (latitude, longitude, and magnetic bearing), boundaries of rights-of-way, topographic data, and ownership of adjoining properties.	PERMANENT
5.03	Road Project Plans, Specifications, Maps, Plats, and Photographs. These records provide comprehensive documentation of the construction and improvement of county roads. Information available in them includes overall project plans and specifications, photographs, and maps or drawings.	PERMANENT

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
5.04	Road and Bridge Construction Project Files. These records document day-to-day activities on a road or bridge construction project site. The diaries note such information as the name of the contractor(s), project personnel, project name and number, weather condition, tests and test results, results of soil and structural component tests, progress reports, and cost estimates. They may also contain permit information, vendor applications, reports, and correspondence.	Retain 10 years.
5.05	Bridge Project Plans, Specifications, Maps, Plats, and Photographs. These records provide comprehensive documentation of the construction and improvement of county bridges. The plans or drawings document the bridge's location and structural details, materials used in construction, and flood levels. Information available in them includes overall project plans and specifications, photographs, and maps or drawings.	
a.	Records of bridges of significant historical interest (agency staff may wish to consult the state Department of Transportation, the Alabama Historical Commission, or the county historical society in evaluating the historical significance of local bridges) <u>Records Management Recommendation:</u> Retain in office for life of bridge; agency may then offer for transfer to a local library, archives, or historical society under the terms of a local government records deposit agreement.	PERMANENT
b.	Records of other bridges	Retain for life of bridge.
5.06	Bridge Inspection Reports. These records document the periodic inspection of public bridges by county inspectors to comply with state and federal requirements. An inventory of bridge structures and inspection data is maintained at the state level (CFR 650.311). The reports include forms and other information on the bridge's age and location structural details, and grade of the structure. Photographs and drawings may also be included.	Retain for life of bridge.

Note: For routine road and bridge operations records (accounting and purchasing records; grants, bids, and contracts; personnel and training records; work orders; operations logs, telephone/radio logs), follow the disposition statements for such records under "Administering Internal Operations" (pp. 3-15 through 3-29).

6. Providing Public Transportation Services and Facilities

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
6.01	Transportation Authority Records	
a.	Meeting/hearing minutes, agendas, and packets. These records document the meetings of boards, commissions, or authorities that oversee the operation of county airports or public transit systems. They include agendas and packet materials (copies of budgets, work plans, reports, and other background information) reviewed by members prior to meetings.	PERMANENT
b.	Hearing files. These files document citizen appeals to the transportation authority, as well as hearings and the authority's decisions. Records may include correspondence with citizens, hearing notices, reports, and other material maintained in case files.	Retain 6 years after authority's decision and settlement of all appeals.
6.02	Federal, State, and County Aviation Regulations. These records include Federal Aviation Administration (FAA) regulations, advisory circulars, and security operations manuals; the <i>Alabama Department of Aeronautics Manual</i> ; county emergency management agencies' emergency operations manuals; and other materials used by county airport authorities in establishing policies and procedures.	Retain until superseded.
6.03	Airport Certification and Procedures Manuals. These records include certification requirements, policies and procedures, and related information compiled by the airport in compliance with FAA and other federal or state regulations. They govern airport operations in such areas as security, maintenance, concessions, contract formulation, and personnel. Individual manual pages or regulations may be superseded or discarded as requirements are updated by the FAA and other oversight authorities.	Retain until superseded.
6.04	Airport Maps, Plans, and Blueprints. These records consist of at least one copy of all versions of maps, plans, and blueprints for county airports or related facilities, including any variations between master and "as built" plans.	PERMANENT

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
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6.05	Approach Slope Condition Reports. These records document approach slope conditions at county airports.	Retain until superseded.
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6.06	Airport Evacuation Agreements. These records document agreements made in plans for evacuating county airports.	Retain until superseded.
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Note: For routine airport operations records (accounting and purchasing records, grants, bids and contracts, personnel and training records, work orders, operations logs, telephone/radio logs, maintenance data on equipment and facilities) follow the disposition statements for such records in the RDA's "Administering Internal Operations" subfunctions (sections 11-14).

6.07	Public Transit Program Administrative Files. These records document the county's operation of public transit systems within its boundaries, as well as special transportation systems for the elderly or handicapped. Included are such records as copies of annual and quarterly reports to the state Department of Transportation, patron sign-in sheets, vehicle inspections, and accident reports.	Retain 2 years following audit.
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Note: Other routine administrative records for these services (such as financial records, personnel records, vehicle maintenance files, and correspondence) are covered in the RDA's "Administering Internal Operations" subfunctions (sections 11-14).

7. Planning and Improving Community Development/ Recruiting Business and Industry

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
7.01	Industrial Development Board Records	
a.	Minutes, meeting agendas, and packets. These records document the meetings of boards or authorities responsible for recruiting business and industry and planning the county's industrial development. They include agendas and packet materials (copies of budgets, work plans, reports, and other background information) reviewed by members prior to or during meetings.	PERMANENT
b.	Hearing files. These files document citizen appeals to the industrial development board, as well as hearings and the board's decisions. Records may include correspondence with citizens, hearing notices, reports, and other material maintained in case files.	Retain 6 years after board's decision and settlement of all appeals.
7.02	Low-Income Weatherization Assistance Program Files. These records include needs assessment surveys, dwelling condition summaries, family profiles, service description forms, labor charge summaries, invoices, reimbursement forms, and related documentation for the low income weatherization assistance program. Applicants' names, Social Security numbers, and other personal information may also be included.	Retain 2 years following audit.
7.03	Civic Center Lease Files. These records document the leasing of space at county civic centers or similar facilities used for business, promotional, or other community events.	Retain 10 years after termination of the lease.
	<u>Note:</u> For related records of routine civic center operations (accounting records, grants, bids and service contracts, personnel and training records, work orders and operations/radio logs, maintenance data on equipment and facilities), follow the disposition statements for such records in the RDA's "Administering Internal Operations" subfunctions (sections 11-14).	

8. Zoning and Regulating Subdivisions

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
8.01	Planning/Zoning Board/Board of Adjustment Records	
a.	Meeting/hearing minutes, agendas, and packets. These records document the role of the county zoning board or board of adjustment in planning and regulating the location and development of business or residential areas within the county. They include agendas and packet materials (copies of budgets, work plans, reports, and other background information) reviewed by members prior to or during meetings.	PERMANENT
b.	Hearing files. These records document citizen's requests for variances to the county zoning board or board of adjustments, hearings on requests, and the board's decisions. They may include applications for variances, protest letters, hearing notices, correspondence and reports, and other material maintained as case files.	Retain 6 years after board's decision and settlement of all appeals.
8.02	Subdivision Files. These files document the county's approval of contractors' plans and specifications to ensure compliance with county requirements. The records include plans, plats, maps, and specifications showing roads, rights-of-way, drainage ditches, and other surface construction or improvements. They also include statements dedicating roads to the county, copies of commission resolutions assuming responsibility for road maintenance, soil testing reports, inspection reports, permits, correspondence, and photographs. Disposition is as follows:	
a.	Final plans, plats, maps, and photographs	PERMANENT
b.	Other material in files (reports, permits, correspondence)	Retain 13 years (Code of Alabama 1975, Section 6-5-222 [Suppl. 1994]).
8.03	Historical Aerial Photographs and Final Maps (8.03). Views of roads, bridges, bodies of water, and other county structures and topography are recorded in photographs and maps. They may be used in planning, economic development, regulation, and other core functions of county government. This item includes both conventional photographs and maps and GIS maps and photographs that can provide long-term historical documentation of the county's physical development. (See RDA item 8.04.)	PERMANENT

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
8.04	<p>Geographic Information System (GIS) Records. These records include individual maps, photographs, or other documentation of road, street, road right-of-way, road centerline, hydrant, tax parcel, or other data created by the county's GIS system. They may be maintained, used, or updated by various county departments.</p> <p><u>Note:</u> Certain GIS maps, photographs, or other records may be suited to provide long-term historical documentation of the county's physical development. GIS records should be selectively evaluated for permanent retention under RDA item 8.03.</p>	Retain 1 year after information has been superseded.
8.05	<p>Master Address Files and Address Change Information. These records include geographic information—primarily street and road names and locations—on all residential and business addresses covered by the county GIS system. They also include additions or corrections of names, street addresses, telephone numbers, or other information on residences and businesses. Disposition is as follows:</p> <p>a. ____ Master address files</p> <p>b. ____ Address change information</p>	<p>Retain 1 year after information has been superseded.</p> <p>Retain 1 year after master file has been updated and verified.</p>
8.06	<p>Zoning Violation Correction Files. These files document the county's efforts to identify and correct violations of its zoning ordinances, as well as ordinances regulating weeds, littering, and other public nuisances. Case files or similar records may include: notices of violations, complaints from citizens, and other correspondence; photographs of property; and records of court proceedings. Disposition is as follows:</p> <p>a. ____ Records of violations that result in litigation</p>	Retain 6 years after litigation is concluded.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
8.06	b.____Records of violations that do not result in litigation	Retain 3 years after violation is corrected.

9. Licensing/Permitting and Inspecting

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
9.01	Records Documenting Business and Occupational (Privilege) Licensing. These records document the issuing of business and privilege licenses and permits as a means of regulating such activities within its boundaries and collecting revenue. Code of Alabama 1975, Section 6-2-35, sets a five-year statute of limitation on the collection of such fees.	Retain 2 years following audit.
9.01	<u>Records Management Recommendation:</u> It is recommended that returned checks, or other records documenting the county's efforts to collect unpaid fees or services charges, be retained 5 years or until settlement of all claims due. The Code of Alabama 1975, Section 6-2-35 sets 5 years as the statute of limitations for collecting "amounts claimed for licenses, franchise taxes, or other taxes."	
9.02	Alabama Alcoholic Beverage Control (ABC) Board Liquor Licenses. These records document the county's submission to the ABC Board of a vendor's letter requesting approval of a liquor license. A copy of the application for the license is attached. License applications are approved by the commission and documented in its minutes prior to sending them to the ABC Board.	Retain 2 years following audit.
9.03	Utility Permit Files. These records document the proper placement of utility lines, poles, and ditches on county rights-of-way. Information available includes plans and diagrams of line or pole locations in rights-of-way; names of the utility contractors; and related correspondence, maps or drawings, and permits.	Retain at least 13 years, or until superseded, obsolete, or no longer useful.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
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9.04	Building Permit Logs, Plans, Permits, and Inspection Files. These records document the issuing and tracking of building permits by the county, as well as building inspections. Information in them may include the building permit number, owner, contractor, location, inspector's name, date of inspection, and list of violations found. Retention is based on Code of Alabama 1975, Section 6-5-222 [Suppl. 1994].	Retain 13 years.
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10. Vaccinating and Controlling Domestic Animals

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
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10.01	Animal Control Operations Files (Rabies Immunization Certificates; Reports of Operations; Lists of Animals Impounded, Claimed, Adopted, or Executed). These records document general operations of the county animal control department, including licensing and vaccinating pet animals and retrieving, housing, and executing strays.	Retain 3 years (Code of Alabama 1975, Section 3-7A-2).
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Note: For routine animal control operations records (accounting and purchasing records; service contracts; personnel and training records; work orders; operations logs, telephone/radio logs; maintenance data on equipment and facilities; correspondence with pet owners or complaining citizens), follow the disposition statements for such records in the "Administering Internal Operations" subfunctions (no.'s 17-20).

11. Constructing County Buildings and Managing Office Space

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
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11.01	County Building Construction and Renovation Files. These files document the design, construction, repair, and renovation of courthouses and other county-owned buildings. Included may be building specifications and floor plans, plans of proposed work, lists of materials, correspondence, memoranda, reports, blueprints, site plans, elevation details, and financial records. Disposition is as follows:	
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<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
11.01	<p>a. Plans, specifications, and blueprints for courthouses and other county buildings of significant historical interest (e.g, county archives)</p> <hr/> <p>Records Management Recommendation: Retain in office for life of building; then offer for transfer to a local library, archives, or historical society under the terms of a local government records deposit agreement.</p>	PERMANENT
	<p>b. All other records (financial records; plans, specifications, and blueprints for buildings lacking significant historical interest)</p>	Retain for life of building.
11.02	<p>Construction Project Contract Files. These files provide secondary documentation of contract activities relating to the building and furnishing of county government buildings. They include such information as the name of the vendor/contractor, terms of the contract, records of payment, and performance bonds.</p>	Retain 10 years after expiration of the contract.
11.03	<p>Space Management Plans/Records of Space Assignments. These records document the assignment of office space in county buildings and facilities and include operating plans for the assignment of such space.</p>	Retain 2 years after the audit period in which the records were superseded.

12. Administering Internal Operations—Managing the Agency

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
12.01	<p>Administrative Policies and Procedures. These records include policies and procedures established by the county commission on a variety of issues regarding its relations with the public, other governmental or private entities, and county employees.</p>	PERMANENT
12.02	<p>Administrative Reference Files. These records include materials not created by the county commission; they are collected and used only as reference sources of information.</p>	Retain for useful life.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
12.03	Annual Reports. County commissions may create annual narrative and/or financial reports describing their activities during the calendar or fiscal year. Such reports provide summary documentation of commission functions, projects, and activities, as well as an ongoing history of the county and its government.	PERMANENT
12.04	Meeting Notices. These records are official notifications of the time and place of regular and special commission meetings.	Retain 2 years following audit.
12.05	Historical and Publicity Files. These records include news releases, newsletters, brochures, periodicals, photographs, videotapes, audiotapes, speeches, and public service announcements.	PERMANENT Retain in office or transfer to a local library, archives, or historical society under the terms of a local government records deposit agreement.
12.06	Websites. Counties develop websites for responding to public inquiries and providing information on county government affairs. Material on the site may include: information on the county's location; population; demography; organization and officials; economic, cultural, and educational resources; and other information describing the local "way of life."	PERMANENT Preserve a complete copy of the website annually, or as often as significant changes are made.
12.07	Official Bonds and Oaths. These records comprise official bonds and oaths required of commission members and other county personnel under Code of Alabama 1975, Section 11-2-1. They include oaths of office, power of attorney statements, insurance policies, and other surety bonds. Original bonds and oaths are filed at the county probate office.	Retain 2 years after the audit period in which the term in office ended.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
12.08	Routine Correspondence. This type of correspondence documents the daily conduct of county government affairs in the commission's relations with local citizens and businesses, other governmental agencies, and the general public. It relates to everyday matters (such as answering inquiries, providing information, or performing mandated services) rather than to policy development or issues of long-term administrative impact.	Retain 3 years.
12.09	Legal Case Files. These records document lawsuits filed against the county government.	Retain 6 years after the case is closed.
12.10	Complaint Files/Unlitigated Claims for Damages. These records document damage claims against the county that are resolved without litigation.	Retain 2 years after settlement or denial of complaint or claim.
12.11	Mailing Lists. These records include various standard lists of names and addresses used by the commission and other county personnel.	Retain for useful life.
12.12	Mail, Telephone, and Fax Machine Logs. These records are lists of telephone and fax machine contacts and related data.	Retain for useful life.
12.13	Calendars. These records include desk calendars and other scheduling devices for county personnel.	Retain 1 year.
12.14	Records Management Documentation	
	a. Records documenting implementation of the commission's approved RDA. These records include records management plans, records inventories, finding aids, and destruction notices.	Retain 2 years following audit.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
12.14	<p>b. Copy of approved RDA. The RDA provides legal guidelines for the disposition of all agency records. The county commission should maintain a signed copy of its RDA.</p> <p>c. Local government records deposit agreements. These records are formal agreements executed by the county commission so that a local records repository (library, archives, or historical society) may accept physical custody of long-term records. They include inventories of records in the repository. (<u>Note:</u> Deposit agreements must be approved by the Local Government Records Commission. For information, contact ADAH.)</p>	<p>Retain 2 years after the audit period in which the RDA was superseded.</p> <p>Retain 10 years after termination of the agreement.</p>
12.15	<p>Computer Systems Documentation. These files include Y2K records, hardware and software manuals and diskettes, warranties, records of access/authorities, file naming conventions.</p> <p><u>Disposition:</u> Retain former system documentation 2 years after the audit period in which the former hardware and software no longer exist anywhere in the agency and all permanent records have been migrated to the new system.</p>	

13. Administering Internal Operations—Managing Finances

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
13.01	<p>Budgeting Records. These records document preparing a budget request package and reporting the status of funds, requesting amendments of allotments, and reporting program performance.</p> <p>a. Departmental budget estimates and requests. These records contain information submitted by other county departments during budget preparation.</p>	<p>Retain 2 years following audit.</p>

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
13.01	<p>b. Approved annual budgets. Final county budget approved by the county commission.</p> <p>c. Records documenting budget performance during the budget cycle (budgeted and actual revenue reports, revenue reports, investment reports, expenditure reports, encumbrance reports, etc.)</p> <p>d. Annual financial reports. At the end of the fiscal year, a summary statement of the county's finances may be included in the commission minutes and published in the local newspaper.</p>	<p>PERMANENT If copy of budget is included with minutes, retain additional copies for useful life.</p> <p>Retain 2 years following audit.</p> <p>PERMANENT If a copy of the report is included with the minutes, retain additional copies for useful life.</p>
13.02	Audit Reports. These records document the county's overall financial condition, and the findings of the Examiners of Public Accounts, during each audit period.	PERMANENT
13.03	Accounting Records	
	<p>a. Routine accounting records. These are records of original entry or other routine accounting transactions, including journals, registers, ledgers, bank statements, deposit slips, canceled checks, etc.</p> <p><u>Note:</u> Disposition for grant-related accounting records is provided under RDA item 13.07.</p> <p><u>Records Management Recommendation:</u> It is recommended that returned checks, or other records documenting the county's efforts to collect unpaid fees or service charges, be retained for 5 years or until settlement of all claims due. The Code of Alabama 1975, Section 6-2-35, sets 5 years as the statute of limitations for collecting "amounts due for licenses, franchise taxes, or other taxes."</p>	Retain 2 years following audit.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
13.03	<p>b. General ledgers and detailed year-end trial balances. These are records of final entry for all financial transactions: collecting revenue (taxing and licensing), purchasing, investing, administering state and federal funds, and general accounting.</p> <p>Records created prior to 1975</p> <p>Records created in or after 1975</p>	<p>PERMANENT</p> <p>Retain 10 years after the end of the fiscal year in which the record was created.</p>
	<p>c. Minutes of claims allowed or denied. These minutes are records of final entry documenting all claims against the county and actions taken in regard to them. They include information on claimants, amounts of claims, claims allowed or denied, dates of decisions, and amounts of final payments.</p>	<p>PERMANENT</p>
13.04	Purchasing Records. These records document the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products.	Retain 2 years following audit.
13.05	Contracts, Leases, Franchises, and Agreements. These records document the negotiation, fulfillment, and termination of all contracts, leases, franchises, and agreements entered into by the county, including final contracts that are subject to the bid process.	Retain 10 years after expiration of the contract (Code of Alabama 1975, Section 6-2-33).
13.06	Records of Formal Bids. These records document the bid process, including the county's requests for proposals and unsuccessful responses from service vendors.	Retain 7 years after the date bids were opened (Code of Alabama 1975, Section 41-16-62).

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
13.07	Grant Project Files. These records document the county's application for and conduct of grant projects funded by local, state, federal, or private sources. Disposition is as follows:	
a.	Financial records, interim narrative reports, and correspondence. These records include financial reports, interim narrative reports, background materials, and other non-financial supporting documentation for grants awarded. Also included are records relating to unsuccessful grant applications.	Retain 6 years after submission of final financial report or denial of application.
b.	Subsidiary financial records. These records include accounting or purchasing records and any other subsidiary financial documentation of federal grants, excluding financial reports. (See federal Rule 1354.)	Retain 3 years after submission of final financial report.
c.	Final narrative reports. Final narrative reports are submitted according to the requirements of the funding agency. They summarize the goals of the grant, how the money was used, and what was accomplished.	PERMANENT
13.08	Investment Reports. These records provide summary documentation of the county's financial investments.	Retain 2 years following audit.
13.09	Travel Records. These records document requests by county personnel for authorization to travel on official business, and related materials such as travel reimbursement, forms and itineraries.	Retain 2 years following audit.

14. Administering Internal Operations—Managing Human Resources

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
14.01	Personnel Board Meeting/Hearing Minutes, Agendas, and Packets. These records document meetings and hearings of the county personnel board, along with the agenda of topics to be discussed at the meeting and any attachments or other documents provided to board members.	PERMANENT

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
14.02	Personnel Hearing Files. These records document various types of hearings held by the county personnel board, such as demotion hearings, hardship rules hearings, grievance hearings, dismissal appeals, discrimination appeals, layoff appeals, and citizen complaints.	Retain 6 years after board's decision and settlement of all appeals.
14.03	Employee Handbooks. These records provide guidance to new employees about personnel rules and other policies and procedures.	PERMANENT
14.04	Employee Newsletters. Internal newsletters are created for county government employees to communicate personnel policies, news of important events, and information on individual employees.	PERMANENT
14.05	Job Classification and Pay Plans. These records document job classifications for all positions covered by the county personnel system. They include the title, qualifications, duties, and pay range for each county government position.	
	a. County commission copy (or personnel department copy if county has a separate personnel department)	PERMANENT
	b. Copies held by other county government departments (including county commission if county has a separate personnel department)	Retain 4 years after position is reclassified.
14.06	Examination Records. These records document the development of and administration of examinations for employment in county positions.	
	a. Examination history files. These files document the development of employment examinations. They include questionnaires, comparison studies, final copies of examinations, and job announcements.	Retain 1 year after examination is no longer in use.
	b. Examination administrative files. These records document the administration of examinations to applicants for county positions. They include rating forms, answer sheets, and lists of applicants.	Retain 3 years.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
14.07	Certification Records. These records document the process of certifying applicants for employment. They pertain to individuals deemed qualified for county positions after submitting an application and taking an employment examination.	
a.	Employment registers. These records are lists of individuals declared qualified for certain county positions. They include job classifications, names of eligible applicants, and their ranking on the certification list.	Retain 1 year after superseded.
b.	Employee certification files. These records document the certification process with individual job applicants. They include questionnaires, training and experience records, grades, notifications, and returned postcards and letters.	Retain 3 years.
14.08	Job Recruitment Materials. These records document efforts by the county commission to advertise positions and attract qualified personnel.	Retain 2 years following audit.
14.09	Employment Applications. These are applications by individuals for employment in county positions.	
a.	Successful applications	Retain in employee personnel file.
b.	Unsuccessful applications	Retain 3 years.
c.	Supplemental data forms. Information on these forms includes the job applicant's name, Social Security number, date of birth, race, gender, and recruitment source. The form may be separated and filed separately from other information on the employment application.	Retain 6 years after employee separation or 3 years after an unsuccessful application.
d.	I-9 forms. These federal forms are used to verify that persons seeking employment are eligible to work in the United States. Disposition of the employing agency's copy is provided by 8 CFR 274a.2.	Retain 3 years after employment or 1 year after termination, whichever is longer.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
14.10	<p>Equal Employment Opportunity Commission Files. These records document the county's compliance with hiring regulations established by the federal Equal Employment Opportunity Commission.</p> <p><u>Note:</u> "Whenever a charge of discrimination has been filed, or an action brought by the Attorney General—[retain] until final disposition of the charge or action" (29 CFR 1602.31, 1602.20).</p>	Retain 3 years.
14.11	<p>Employee Personnel Files. These records document each county employee's work history; they are generally maintained as case files. A file may include information on an employee's training, performance evaluations, disciplinary actions, promotions and demotions, awards, leave, and salary.</p>	Retain 6 years after separation of employee.
14.12	<p>Employee Work Schedules. These records document the daily and weekly work schedules of all county employees.</p>	Retain 2 years following audit.
14.13	<p>Annual Reports of Promotions and New Hires. These records summarize overall county personnel activity and turnover during the year. They may also include reports of employee retirements, resignations, and terminations.</p>	PERMANENT
14.14	<p>Leave and Attendance Records. These records document the attendance and leave status of county personnel, both generally and for individual employees.</p>	
	<p>a. Individual employee leave and attendance records (including time sheets). These are records documenting hours worked, leave earned, and leave taken by individual county employees.</p>	Retain 2 years following audit.
	<p>b. Employee cumulative leave/attendance records. These records document the final leave status (cumulative leave) of individual county employees.</p>	Retain 6 years after separation of employee.
	<p>c. Employee sick leave donation records. These records document the donation of sick leave to their colleagues by county employees.</p>	Retain 2 years following audit.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
14.15	Payroll Records. These records document county payrolls, as well as pay status and payroll deductions for individual employees.	
a.	Annual payroll earnings reports/records documenting payroll deductions for tax purposes. These are summaries of employees' earnings during a fiscal year, including all deductions and federal Form 941.	Retain 50 years after the end of the tax year in which the records were created.
b.	Records documenting county payrolls. These records include pre-payroll reports, payroll check registers, payroll action forms, payroll/overtime certification reports, etc.	Retain 2 years following audit.
c.	Records documenting payroll deduction authorizations. These records document payroll deduction authorizations for taxes (including W-4 forms), retirement and insurance contributions, and all other deductions withheld from the pay of individual employees.	Retain 6 years after separation of employee.
d.	Records documenting payroll deductions. These records document taxes (including W-2 forms), retirement contributions, and all other deductions withheld from the pay of individual employees.	Retain 2 years following audit.
e.	Employee "Cafeteria Plan" (flexible benefits) records. These records document salary-reduction type plans authorized by the U.S. Internal Revenue Service, Section 125.	
	General information about the plan	Retain until superseded.
	Employee applications, correspondence, enrollment cards and files	Retain 6 years after termination of the plan.
14.16	Employee Insurance Program Enrollment and Claims Files. These files document the county's efforts to assist employees and their dependents to enroll in health/life insurance programs, in accordance with guidelines established by the county commission.	
a.	General information on the program	Retain until superseded.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
14.16	<p>b. Employee applications, correspondence, and enrollment cards and files</p> <p>c. Employee claims files</p>	<p>Retain 4 years after program termination or employee separation.</p> <p>Retain 2 years after the audit period in which the claim was filed.</p>
14.17	Workmen's Compensation Insurance Claim Files. These files document all claims pertaining to work-related injuries or diseases made by county employees. (See Code of Alabama 1975, Section 25-5-4.)	Retain 12 years after the end of the fiscal year in which the transaction occurred.
14.18	Unemployment Compensation Files. These files provide documentation related to employee claims for unemployment compensation.	Retain 2 years after the audit period in which the transaction occurred.
14.19	Employment Assistance Program Files. These are administrative records documenting the referral of employees to various assistance programs and subsequent services provided.	Retain 2 years after the audit period in which the transaction occurred.
14.20	Family Medical Leave Act (FMLA) Records. These records document administration of the Family Medical Leave program, including leave taken, premium payments, employer notices, and correspondence.	Retain 2 years following audit.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
14.21	<p>Training Records. These records document the county’s provision of in-service training and professional development for its employees. They do not include materials obtained from outside sources. Disposition is as follows:</p>	
a.	<p>Training standards, policies, procedures and publications. These records document the county’s overall standards, policies, and procedures in providing specialized training to its employees. They may include general policy statements or guidelines, training manuals, or related publications.</p> <hr/> <p>Note: Permanent retention applies to the file copy. Duplicates may be destroyed when no longer needed.</p>	PERMANENT
b.	<p>Training administrative files. These records document the process of conducting training for employees. They may include individual lesson plans, audiovisual presentations or materials, lists of attendees at workshops or training sessions, sign-in sheets, unpublished handouts, and appraisals of training completed by participants.</p>	Retain for useful life.
14.22	<p>“Drug-Free Workplace” Records. These records document the county’s substance abuse policies and programs, as well as drug and alcohol testing of county employees. Under the federal Americans With Disabilities Act, such medical-related records may not be included in Employee Personnel Files. They are generally governed by the requirements of 49 CFR Ch. VI 655.71 (10-1-05 edition). The types of records to be maintained include:</p> <hr/> <p>Training records (drug and alcohol abuse policy statements, names of employees attending training, documentation of training provided to supervisors on detecting and dealing with employee drug abuse)</p> <p>Records related to the collection process (collection logbooks; documentation of random, pre-employment, reasonable suspicion, or post-accident testing; documentation of employees’ inability to provide testable urine samples for medical reasons)</p> <p>Records related to drug testing (test results, custody and control forms, documentation of employees’ refusal to submit to testing or employee challenges to test results)</p>	

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
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14.22 **Records related to employees' referral to substance abuse recovery programs** (referrals by professionals, documentation of program completion, follow-up testing of employees)

Retention periods for "Drug-Free Workplace" records are as follows:

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|---------|--|------------------|
| a. ____ | Drug/alcohol abuse policy and procedures documentation | PERMANENT |
| b. ____ | Positive employee drug or alcohol test results, documentation of employee refusals to take tests, documentation of employee referrals and treatment in substance abuse programs, copies of county's annual MIS reports submitted to FTA | Retain 5 years. |
| c. ____ | Records related to the collection process and employee training | Retain 2 years |
| d. ____ | Negative employee drug or alcohol test results | Retain 1 year. |

15. Administering Internal Operations—Managing Properties, Facilities, and Resources

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
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15.01	Annual Inventory Records. These records document all personal property, equipment, or capital outlay by the county commission on an annual basis.	Retain 2 years following audit.
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15.02	Receipts of Responsibility for Property. These records document the temporary use or possession of county property by county employees.	Retain until return of item to property manager.
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15.03	Deeds to County Property. These are copies of records that document the county's ownership of real property. Deeds are held permanently by the county probate office.	Retain until property is sold. Verify that the probate office holds the original deed prior to destruction.
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<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
15.04	Insurance Policies. These policies document all insurance policies carried by the county on its equipment or property.	Retain 10 years after the end of the fiscal year in which the policy was terminated.
15.05	Facilities/Building Maintenance Work Orders. These records document routine maintenance activities in county buildings or other facilities.	Retain 1 year.
15.06	Facilities/Building Inspection Records. These records document the routine safety and maintenance inspection of county buildings, facilities, and such potentially dangerous items as furnaces, elevators, electronic doors, etc.	Retain 5 years.
15.07	Facilities/Buildings Security Records (including visitor logs). These records document the county's efforts to provide security to members of the public using county buildings and facilities, as well as to monitor the admission of visitors to these areas. They may include sign-in sheets for visitors, alarm system log sheets, and records documenting security staff's responses to alarms or emergencies.	Retain 3 years.
15.08	Motor Pool Use Records. These records document the use of vehicles in the county motor pool by county employees.	Retain 2 years following audit.
15.09	Parking Records. These records document the use of county parking facilities by employees or visitors. They may include parking permits, cards, and applications for these items.	
	a. When parking fee is charged	Retain 2 years following audit.
	b. When no parking fee is charged	Retain 1 year after permit expires.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
15.10	Vehicle and Equipment Ownership and Maintenance Files. These records document the ownership and maintenance of all vehicles and other equipment owned or maintained by the county. They may include titles, bills of sale, repair records, and related correspondence.	
	a. _____ Ownership records (titles, bills of sale, etc.)	Retain 2 years following the audit period in which equipment or vehicle is removed from inventory.
	b. Maintenance files (work orders, repair records, and related financial records)	Retain 2 years following audit.
15.11	Long-Distance Telephone Logs. These records document use of the county's long-distance telephone systems by county employees during business hours.	Retain 2 years following audit.

16. Records No Longer Created

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
16.01	Criminal Contract Records/Records of Convicts Sentenced to Hard Labor. These records documented the county's leasing of convicts sentenced to hard labor to private companies or individuals. They were maintained either by the county commission or the judge of probate. Although creation of these records was discontinued ca. 1929, they are appraised as permanent because of their historical value.	PERMANENT (This record is no longer created.)

Requirement and Recommendations for Implementing the Records Disposition Authority for Alabama County Commissions

Under the Code of Alabama 1975, Section 41-13-23, “no county, municipal, or other local government official, shall cause any . . . record to be destroyed or otherwise disposed of without first obtaining the approval of the local government records commission.” This RDA constitutes authorization by the Local Government Records Commission to dispose of records as stipulated, with the condition that the responsible official must submit a Local Government Records Destruction Notice to the ADAH Government Records Division to document the destruction. The ADAH, which serves as the records commission’s staff, retains local records destruction documentation as a permanent record. (For more information, see the ADAH procedural leaflet *Records Destruction Procedures for Local Governments*.)

In addition to authorizing a procedure for legally destroying temporary county commission records, the Local Government Records Commission urges the commission to establish a quality record-keeping program that will meet its legal and public service needs. Such a program should include the following activities:

- The county commission chairperson, or a designated records officer, should be responsible for: ensuring the regular implementation of this RDA, maintaining records in compliance with national and state standards, and coordinating the destruction of disposable records.
- Permanent records in the commission’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation. In addition to records appraised as permanent in the RDA, the Local Government Records Commission has directed that any record created prior to 1900 shall be regarded as permanent.
- Destruction of temporary records, as authorized in the RDA, should occur agency-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The county commission should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the commission chooses to maintain a record solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the record’s preservation and accessibility for the period legally required.
- Microforms of permanent records should conform to quality standards set by the American National Standards Institute (ANSI) and the Association for Image and Information Management (AIIM). According to the Code of Alabama 1975, Section 41-13-44, no microfilmed record may be legally destroyed “until the microfilm copy has been processed and checked

with the original for accuracy.” Government Records Division staff may examine agency microfilm for compliance prior to destruction of the original records.

- The county commission should notify the ADAH Government Records Division if a new records officer is appointed or if other significant changes occur in records storage conditions or records management procedures. It may also contact the division to request revision of this RDA. Normally, RDA revisions will be submitted to the Local Government Records Commission every two years. ADAH Government Records Division staff will notify the county commission of any records commission-approved changes in record-keeping requirements that apply to county commissions on a statewide basis.

The staff of the Local Government Records Commission may examine the condition of permanent records maintained in the county commission’s custody and inspect records destruction documentation. Government Records Division archivists are available to instruct county commission staff in RDA implementation or otherwise assist the commission in implementing its records management program.

The Local Government Records Commission adopted this Records Disposition Authority on July 25, 2007.

By : _____ Date: _____
Edwin C. Bridges, Chairman, by Tracey Berezansky

By: _____ Date: _____
Chairperson
_____ County Commission